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Controls on hydrologic drought duration in near-natural streamflow in Europe and the USA

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Abstract

Climate classification systems, such as Köppen–Geiger and the aridity index, are often used in large-scale drought modeling studies and in drought monitoring and early warning systems to stratify regions with similar hydro-climatic drought properties. What is currently lacking is a large-scale evaluation of the relation between climate and hydrologic drought characteristics. In this study we explored how suitable common climate classifications are for differentiating river basins according to their characteristic hydrologic drought duration and whether drought durations within the same climate classes are comparable between different regions. This study uses a dataset of 808 near-natural streamflow records from Europe and the USA to answer these questions. First, we grouped drought duration distributions of each record over different classes of climate classification systems and individual climate and catchment controls. Then, we compared these drought duration distributions of all classes within each climate classification system or classification based on individual controls. Results showed that climate classification systems that include absolute precipitation in their classification scheme (e.g., the aridity index) are most suitable to differentiate basins according to drought duration within both the USA and Europe. However, differences in duration distributions were found for the same climate classes in Europe and the USA. These differences are likely caused by differences in precipitation, in catchment controls as expressed by the base flow index and in differences in climate beyond the total water balance (e.g., seasonality in precipitation), which have shown to exert a control on drought duration as well. Climate classification systems that include an absolute precipitation control can be tailored into drought monitoring and early warning systems for Europe and the USA to define regions with different sensitivities to hydrologic droughts, which, for example, have been found to be higher in basins with a low aridity index. However, stratification of basins according to these climate classification systems is likely to be complemented with information of other climate classification

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systems (Köppen–Geiger) and individual controls (precipitation and the base flow index), especially in a comparative study between Europe and the USA.

1 Introduction

Droughts are natural disasters that originate from a temporary deficit of water. They are multifaceted phenomena and are often grouped into four main types; meteorological, agricultural, hydrologic and socio-economic. Hydrologic drought relates to “effects of dry spells on surface and subsurface water” (Wilhite and Glantz, 1985). These hydrologic droughts are often triggered by anomalies in climatic conditions and their duration regularly depends on the persistence and magnitude of these anomalies. However, climatic conditions alone do not determine the onset, persistence and recovery of a hydrologic drought. Storage related processes (like snow accumulation or groundwater storage) play an important role as well (e.g., Haslinger et al., 2014; Staudinger et al., 2014; Van Loon and Laaha, 2015).

Knowledge of a region’s hydro-climate is important for drought related research (Tallaksen and Van Lanen, 2004), e.g., short term precipitation deficits can lead to a hydrologic drought event in a basin with little storage whereas a basin with a lot of storage is likely to be little affected by such a dry spell. The Köppen–Geiger climate classification system (Geiger, 1961) is a popular way to describe a region’s (hydro-)climate in a broad range of disciplines (Rubel and Kottek, 2011). However, it may not be the most optimal way of grouping basins with similar hydrologic behavior, partly because it fails to distinguish between basins with different “filtering behaviors” (Coopersmith et al., 2012). More recent hydro-climatic classification schemes build on the ideas of the Köppen–Geiger climate classification system. For the USA, such classification schemes are based on controls like seasonality and timing of precipitation, the aridity index, timing of maximum runoff and fraction of precipitation falling as snow (e.g., Berghuijs et al., 2014; Coopersmith et al., 2012). The latter two studies suggest that in the USA, climate is the dominant control on hydrologic behavior,

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however, Berghuijs et al. (2014) also found similarity between their clusters of basins and soil, ecosystem and vegetation classes.

Apart from climatic controls, catchment controls also play a role in the propagation from climatic input to streamflow (e.g., Barker et al., 2015; Haslinger et al., 2014) and could thus be useful to group basins with similar hydrologic behavior. For example, variability in precipitation and temperature is dampened when it propagates to streamflow (Gudmundsson et al., 2011b). The latter study suggests that this is related to physical catchment characteristics. Gudmundsson et al. (2011a) found support for stronger control of physical catchment characteristics during situations of low flow, which was shown by reduced cross-correlation of low vs. high flows.

In order to improve our understanding of these climatic and catchment controls on hydrologic droughts, the drought characteristics of interest need to be quantified. Commonly, hydrologic droughts are characterized by duration, deficit volume, frequency and areal extent (Andreadis et al., 2005). Quantifying these properties helps to compare historical drought events and can be used to place current and predicted drought events in a historical context. One method to compare these characteristics is by Severity Area Deficit (SAD) curves, which have been used to compare major soil moisture and runoff drought events in the USA (Andreadis et al., 2005) and major soil moisture drought events on a global scale (Sheffield et al., 2009). Knowledge about past drought characteristics can further be used to create probabilistic return periods of hydrologic drought events with certain characteristics, using so-called Severity Area Frequency (SAF) curves (e.g., Hisdal and Tallaksen, 2003). Furthermore, these drought characteristics have been utilized to study the propagation of drought through the hydrologic cycle (e.g., Tallaksen et al., 2009; Van Loon et al., 2014) and to investigate the impact of climatic and catchment controls on droughts (e.g., Van Lanen et al., 2013; Van Loon et al., 2014).

Climate related differences in modeled drought characteristics were found between the major classes of the Köppen–Geiger climate classification system, where droughts in snow, polar and arid climates have longer durations compared to the equatorial

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and temperate climates (Van Lanen et al., 2013). The different major classes of the Köppen–Geiger classification can be further divided into different sub-classes that take into account seasonality in precipitation and the occurrence of cold or hot seasons (Kottek et al., 2006). Van Loon et al. (2014) found that for these sub-climates, droughts with long durations occurred more often within classes with seasonal properties. Droughts starting before annual recurring periods of low precipitation or high or low temperature are less likely to recover due to either a low influx of precipitation, temporary storage of precipitation as snow or a high level of evaporation (Van Loon and Van Lanen, 2012). Climate classification systems, like the Köppen–Geiger climate classification, are based on long term average climatic conditions. However, drought durations are modified when meteorological droughts propagate through the hydrologic cycle. For example, drought duration increases with an increasing groundwater response time (Van Lanen et al., 2013; Van Loon et al., 2014). Both these studies showed that this drought prolonging effect was visible for different climates, suggesting a combined influence of both climatic and catchment controls on drought duration where neither climate nor physical catchment structure seemed to be dominant.

Studies based on modeled basins may lead to a better theoretical understanding of controls on hydrologic droughts since they enable isolated research on the effect of one control at a time. However, modeling incorporates uncertainties, e.g., in climatic forcing and due to modeling assumptions (Sheffield et al., 2009). It is therefore questionable how representative models are of the real world. This highlights the importance of using observed streamflow data in research about controls on hydrologic droughts. However, outside the modeling environment, a comparative study on the isolated effect of one individual control is nearly impossible due to the unique combination of catchment and climate properties of each real-world basin. For example, in Austria, propagation of drought (from precipitation to streamflow) was found to be more dependent on climatic forcing under humid conditions and on storage properties under more arid conditions (Haslinger et al., 2014). Therefore, research about controls on observed hydrologic drought durations is limited to finding the dominant ones. Tallaksen and Hisdal (1997)

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showed for a set of 52 Nordic basins that the distribution of drought durations is variable over different basins, which they hypothesized to be controlled by climate. In contrast, Van Loon and Laaha (2015) showed that storage related processes mainly control the duration of drought for a set of Austrian catchments. They showed that the base flow index (BFI, representing several different storage related processes), has the highest correlation with average streamflow drought duration, however, annual precipitation showed a strong negative correlation with average drought duration as well.

To extend the knowledge about controls on hydrologic streamflow droughts and to evaluate the suitability of climate classification systems for describing regions with different hydrologic drought characteristics, large scale studies are needed based on observed streamflow data. Therefore, we evaluated the suitability of several climate classification systems and individual controls to differentiate basins according to hydrologic drought duration in near-natural streamflow records from Europe and the USA. Furthermore, we tested if drought duration distributions of the same climate classes were comparable between the USA and Europe, which answers the question whether or not climate classification systems are transferable between these regions. For this analysis, we used a hypothesis testing approach to systematically compare cumulative drought duration distributions (hereafter called drought duration curves) between classes of different climate classification systems and classes of individual controls. This study focuses on long duration droughts since they most severely affect natural and socio-economical systems. Duration is preferred over other drought characteristics like severity or magnitude since this characteristic is less influenced by systematic measurement errors and relies on ranks of data rather than on accurate gauged quantities.

Based on the above mentioned studies, we hypothesize that the following climate or catchment characteristics exert a control on drought duration:

- Occurrence and length of a precipitation deficit season
- Occurrence and length of a cold season

- Climatic controls (precipitation (P) and temperature (T))
- Catchment controls related to storage (base flow index (BFI), area (A) and elevation (E)).

The following climate classification systems are also hypothesized to be suitable for differentiating basins with different hydrologic drought duration characteristics since they include one or more of these controls: The Köppen–Geiger climate classification system (KG), the aridity index (AI), the number of months with an average temperature below zero ($T < 0$) and the number of months with a climatic water deficit, i.e., when the average evaporation is larger than the average precipitation ($PET > P$). However, none of these climate classification systems considers catchment controls so their suitability to differentiate basins according to drought duration needs to be investigated for a wide variability of catchment characteristics.

2 Data and methods

2.1 Streamflow data and potential controls

The analysis was based on 808 near-natural streamflow records from Europe and the contiguous USA. The streamflow records for the USA were selected from the Hydro-Climatic Data Network (HCDN-2009, Lins, 2012) and for Europe from the European Water Archive (EWA, Stahl et al., 2010). Only records meeting the following criteria were selected for further analysis: (1) at least 40 years of continuous daily data for the time period 1965–2004 for Europe and 1970–2009 for the USA. Different time periods were chosen to optimize the number of stations while incorporating recent times. (2) Percentage of zero streamflow occurrence at each time step is ≤ 20 , since the chosen drought identification method was not designed to deal with more frequently occurring zero streamflow.

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approach. In a first step, we combined all values of an individual control of both the USA and Europe (e.g., annual precipitation) and divided these values into 5 classes of equal size (Fig. 2b, left). In a second step, these classes were used to group the drought duration curves into 5 different ensembles for each region (Fig. 2b, right). The minimum class size was set to 10 for both classes of climate classification systems and individual controls. Smaller classes were excluded from the analysis. An overview of all remaining classes of drought duration curves (abbreviated to DDC when referring to subsets of drought duration curves) with corresponding class sizes is presented in Table 1.

2.4 Comparing DDC

DDC of the different classes were compared with each other both visually and statistically. For visual comparison, the DDC ensemble average per class (e.g., per KG class) was calculated. Instead of showing the absolute values of the average DDC per class, we plot them as departures from the average to make differences easier to discern (Fig. 2c1).

For the statistical analysis, we systematically compared, for each climate classification system or individual control, the DDC values of each class at each percentile between 81 and 100 with all other classes (boxplots Fig. 2c2). This percentile based comparison was preferred over a statistical comparison of average DDC ensembles because the latter does not take into account the variability in DDC ensembles at the different percentiles (Fig. 2a). Two different non-parametric tests were used for this statistical comparison. (1) The Kolmogorov–Smirnov test (KS, Wilks, 2011), which is sensitive to differences in shape, spread and median of distributions (H_0 : DDC values of two classes at percentile i follow a similar distribution) (2) the Mann–Whitney U test (MWU, Wilks, 2011), which is sensitive to differences in mean ranks (H_0 : mean ranks of DDC values of two classes at percentile i are similar). Non-parametric tests were used since different groups of DDC values were not always normally distributed. As final measure of statistical similarity in DDC of the different

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classes we use the number of percentiles with non-significant differences ($P \geq 0.05$) according to either the KS or MWU test (Eqs. 1 and 2).

$$S_{KS} = \sum_{i=81}^{100} \begin{cases} 0 & \text{if } P_{KS,i} < 0.05 \\ 1 & \text{if } P_{KS,i} \geq 0.05 \end{cases} \quad (1)$$

$$S_{MWU} = \sum_{i=81}^{100} \begin{cases} 0 & \text{if } P_{MWU,i} < 0.05 \\ 1 & \text{if } P_{MWU,i} \geq 0.05 \end{cases} \quad (2)$$

5 where S_{KS} and S_{MWU} are the number of similar percentiles ranging between 0 and 20 (0 = 0 percentiles similar and 20 = all percentiles similar) and $P_{KS,i}$ and $P_{MWU,i}$ are the P values of the two tests at percentile i (Fig. 2c2). A high value of S_{KS} and S_{MWU} thus indicates more similarity between the DDC of two classes. In addition to the comparison of DDC between all classes of each climate classification system of each region, DDC of the same climate classification classes were compared between Europe and the USA (e.g., DDC of KG class Cfb in the USA vs. DDC of the same class in Europe). For the visual comparison, the difference in average DDC of the same classes between the USA and Europe was used (average DDC USA minus average DDC Europe). For statistical comparison, number of percentiles with similar DDC values between classes with the same classification (according to both S_{KS} and S_{MWU}) was again used as a measure of statistical similarity between DDC.

3 Results

3.1 Visual comparison of DDC

20 Figure 3 (left two columns) presents average DDC (for long duration droughts) of all classes of different climate classification systems. The Köppen–Geiger climate classification system (KG) in the USA show lowest average DDC for basins in the non-seasonal temperate climate with warm summers (Cfb), followed by the average DDC

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4 Discussion

4.1 Evaluation of climate classification systems

Different climate classification systems and individual controls were evaluated for their suitability to differentiate basins according to long duration droughts in observed streamflow in Europe and the USA. From the individual controls, precipitation (P) and the base flow index (BFI) were most suitable to differentiate basins according to their characteristic drought duration distribution, which is in line with the results found in Barker et al. (2015) and Van Loon and Laaha (2015). These individual controls could therefore be seen as dominant control on the drought duration, which confirms the findings of Van Lanen et al. (2013) and Van Loon et al. (2014) that drought duration is modified by both catchment and climate controls. Our result also fit with findings by Zaidman et al. (2002), who found that the 1976 drought in Europe was more persistent in regions with a high BFI or low P . These dominant controls, however, are not the same between the classes of different climate classification systems (Fig. 6), which in the end affects their overall suitability to differentiate basins according to drought duration.

For the KG climate classification system in the USA, the only climate that was not influenced by seasonality in precipitation nor the occurrence of a cold or hot season, Cfb, show the lowest average DDC (shortest droughts) and was only comparable with DDC in the Dfb climate. This Dfb climate was expected to have longer drought durations due to the occurrence of a cold season causing low streamflow due to temporary snow storage (Van Loon et al., 2014). Our tests show that although this influence is visible, it is not statistically significant when comparing the percentiles of the DDC.

The hot summer climates without seasonality in precipitation (Cfa, Dfa) have higher average DDC than their warm summer variations (Cfb, Dfb), which is in contrast with Tijdeman et al. (2012). This difference could possibly be attributed to the fact that the study by Tijdeman et al. (2012) is based on global data whereas this study only deals with the Dfa and Cfa in the USA. The differences in P between the hot and warm

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the hypothesized pattern of higher DDC for the higher $PET > P$ classes and lower DDC for the lower $PET > P$ classes, which makes it a suitable climate classification system to differentiate basins according to drought duration for both regions. The same classes for Europe and the USA show similarity in DDC for basins located in the lower $PET > P$ classes, however, basins located in the higher $PET > P$ classes show significantly higher DDC for the USA. One possible explanation could be the difference in distribution of KG climates between these regions for the higher AI classes (Fig. 7). Basins located in high $PET > P$ classes of Europe mainly are from the Cfb climate whereas basins of these higher classes of the USA mostly consist of hot summer (Dfa and Cfa) and seasonal (Csb, Dsb) climates, which have shown to have longer drought durations.

Another possible factor that might explain these differences in classes is the difference in latitude between Europe and the USA, where for the same $PET > P$ classes, the lower latitude USA has shorter summer days with higher temperatures compared to longer summer days with lower temperatures in Europe. In addition, Van der Schrier et al. (2011) showed that annual actual evaporation calculated with the Thornthwaite formula leads to an underestimation of evaporation in parts of the USA and an overestimation in North-Western Europe. Defining evaporation with another method may therefore lead to more comparable classes between the USA and Europe.

The AI also showed to be suitable to differentiate basins according to drought duration, with a sorting of average DDC over the different AI classes that clearly followed the expected pattern of higher average DDC for basins of lower AI classes and lower average DDC for basins of the higher AI classes. The AI was applied in previous studies focusing more on the arid spectrum (low values) of this index (e.g., Spinoni et al., 2015), where all non-arid regions (higher AI) are generalized to one humid class. Nevertheless, results of this study indicate that the wetter range of this index is also a suitable to differentiate basins according to drought duration. When comparing DDC of Europe with the USA, the lower three AI classes (< 50) of the USA have significantly higher average DDC. This difference was not explained by differences in dominant

a Kruskal–Wallis test was applied, which only detects if one group is different from the total.

5 Conclusions

This study evaluated climate classification systems and classified individual controls for their suitability to differentiate basins according to drought duration characteristics within the USA and Europe. Results show that from the individual controls, precipitation and the base flow index were most suitable differentiators for both the USA and Europe. Climate classification systems that included an absolute precipitation term, the aridity index and months with average potential evaporation larger than the precipitation, were most suitable to differentiate basins according to drought duration within the two regions. The Köppen–Geiger climate classification system was able to differentiate basins according to drought duration between seasonally influenced climates (dry, cold or hot season) and climates with no or little seasonal influences. However, the high number of seasonal climate classes with similar DDC does not make this climate classification the most suitable differentiator.

DDC of basins of the same climate classes were not always comparable between Europe and the USA. For the Köppen–Geiger climate classification system, this is likely related to differences in dominant controls (precipitation and base flow index) over the same Köppen–Geiger classes. For the aridity index and months with average potential evaporation larger than the precipitation, the high number of climates influenced by seasonality in the USA for low aridity index classes and classes with a high number of months with average potential evaporation larger than the precipitation is likely the cause of differences in DDC.

Although climate classification systems that include an absolute precipitation control are most suitable to differentiate basins according to drought duration within Europe and the USA, their power to differentiate is likely to be improved when complemented with information of other climate classification systems and individual controls.

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Table 1. Classes of climate classification systems and individual controls and corresponding class sizes (USA/Europe).

KG	AI	$T < 0$	PET $> P$	P	T	A	E	BFI
Dfb(114/15)	20–30(33/11)	0(184/118)	0(20/83)	1(68/94)	1(84/78)	1(87/75)	1(100/62)	1(134/29)
Cfb(48/247)	30–40(32/59)	1(31/30)	1(27/22)	2(75/86)	2(73/88)	2(77/84)	2(101/60)	2(110/50)
Cfa(156/–)	40–50(92/78)	2(14/33)	2(83/33)	3(98/64)	3(47/115)	3(77/85)	3(84/78)	3(67/95)
Dfa(35/–)	50–60(114/45)	3(100/98)	3(140/37)	4(115/46)	4(96/65)	4(105/56)	4(71/89)	4(70/90)
Dfc(29/49)	60–70(56/45)	4(46/18)	4(128/61)	5(105/57)	5(161/–)	5(115/47)	5(105/58)	5(80/83)
Dsc(11/–)	70–80(47/29)	5(64/25)	5(37/94)	–	–	–	–	–
Dsb(13/–)	80–90(24/28)	$\geq 6(22/25)$	$\geq 6(26/17)$	–	–	–	–	–
Csb(48/–)	90(63/52)	–	–	–	–	–	–	–
Cfc(–/25)	–	–	–	–	–	–	–	–

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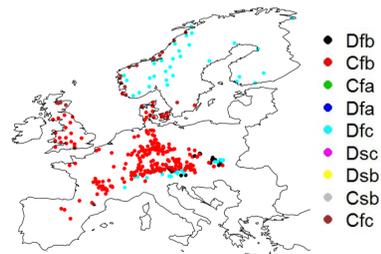
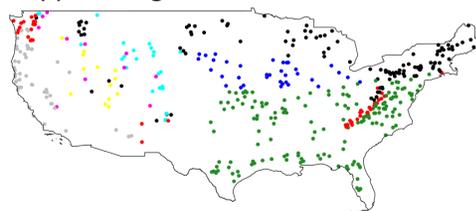
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Köppen-Geiger



Aridity index

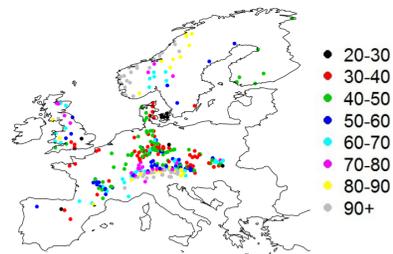
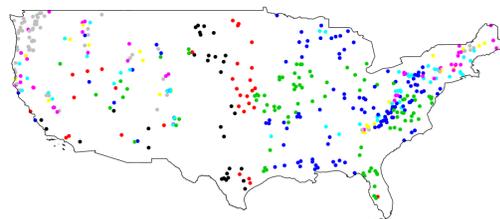


Figure 1. Basin locations and two corresponding classifications (Köppen–Geiger and the aridity index), used in this study. A description of these two climate classification systems and their classes is presented in Sect. 2.1.

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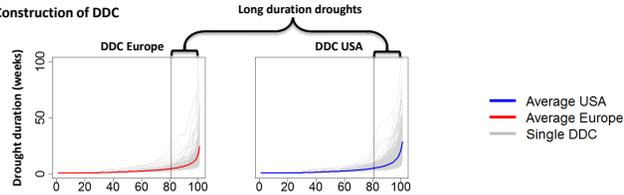
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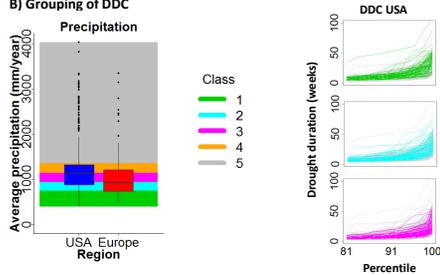
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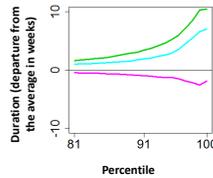
A) Construction of DDC



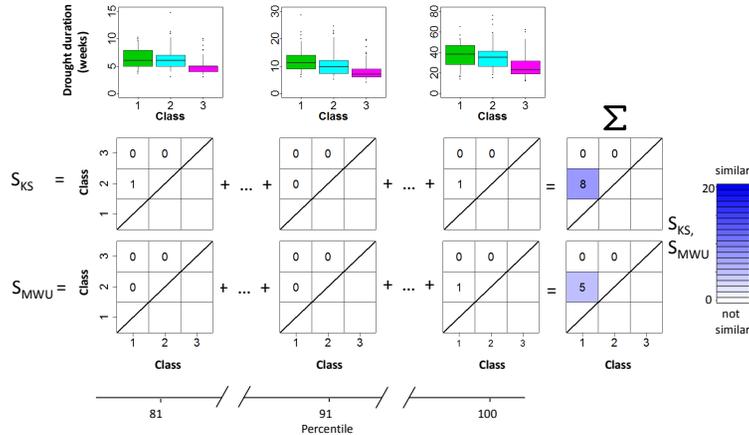
B) Grouping of DDC



C1) Visual comparison



C2) Statistical comparison



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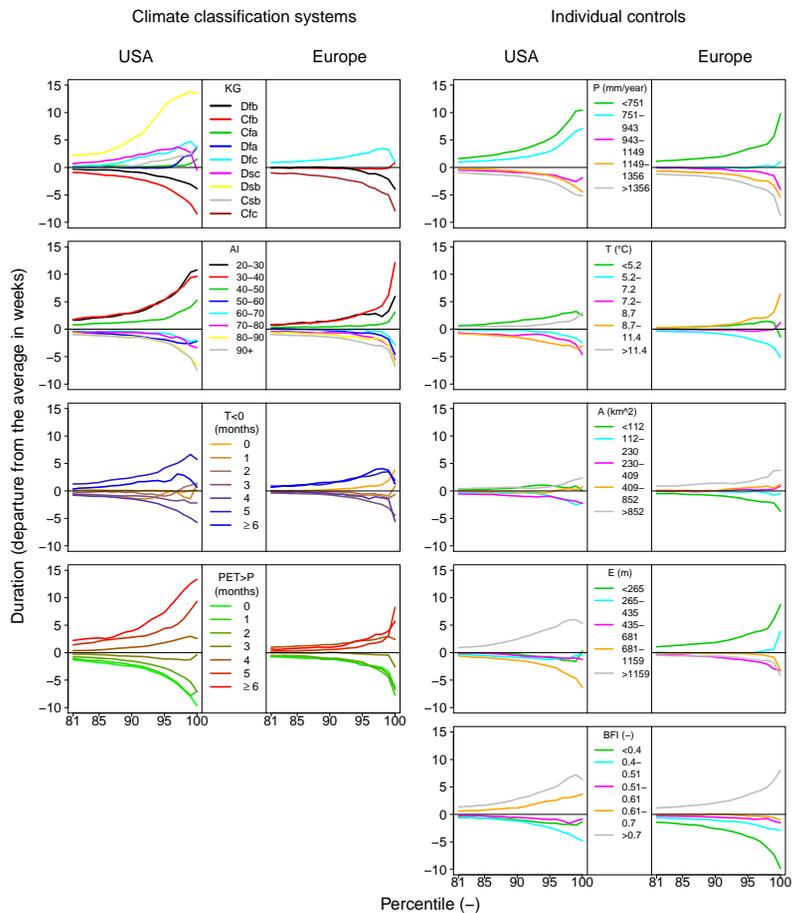


Figure 3. Average DDC (displayed as departures from the total average of DDC of each region) of all classes of different climate classification systems and individual controls.

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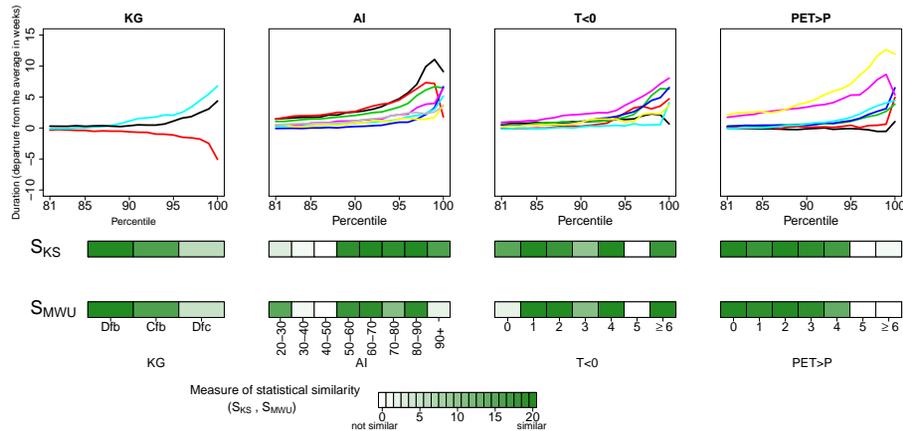


Figure 4. Upper graphs: Difference in average DDC for the same climate classification system classes in Europe and the USA (average DDC USA minus average DDC Europe). Colors correspond to the legend of Fig. 3. Lower rows: measures of statistical similarity S_{KS} and S_{MWU} between DDC per climate classification system class in the USA and Europe.

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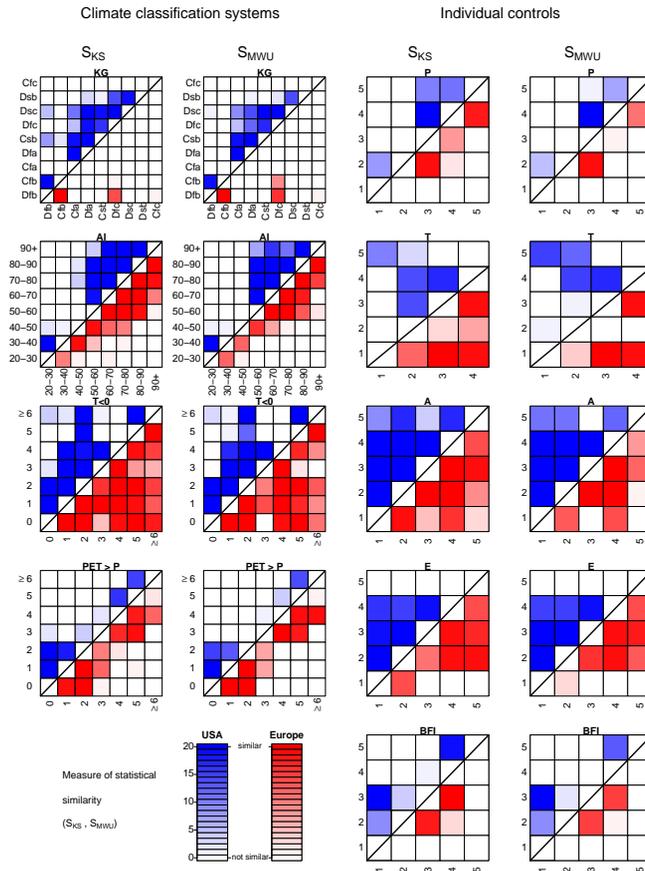


Figure 5. Measures of statistical similarity S_{KS} and S_{MWU} between DDC of all climate classification system classes and classes of individual controls for the USA (blue, above the diagonal of each matrix) and Europe (red, below the diagonal of each matrix).

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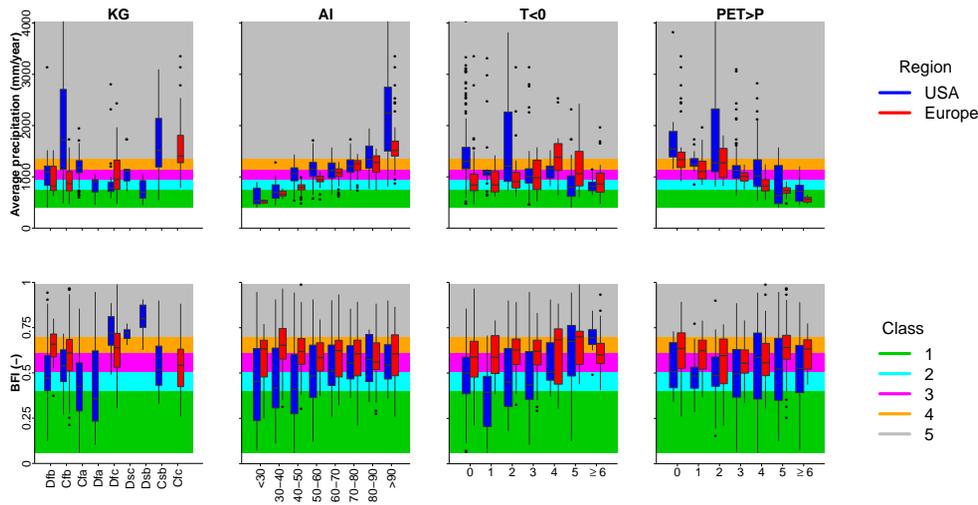


Figure 6. Distribution of individual controls P (upper row) and BFI (lower row) for the classes of different climate classification systems for the USA (blue) and Europe (red). Background colors indicate the ranges of classes of the individual controls (see Fig. 3). Box: percentile 25, 50 and 75. End of lines: percentile 5 and 95. Points: outliers.

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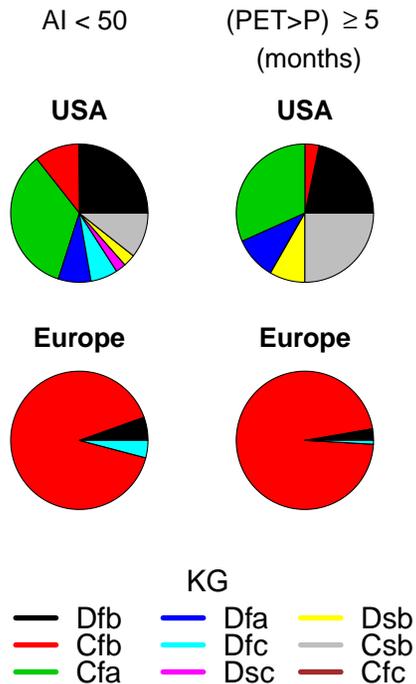


Figure 7. Distribution of different KG climates for all basins with an AI smaller than 50 (left column) or $PET > P$ of 5 or more months (right column) for both the USA and Europe.

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